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ABSTRACT

This manual (1) explains the nature and purpose of ESEA Title IV grants; (2) describes the types of programs that may receive grants--the inservice training of school personnel to deal with problems incident to desegregation, and the use of advisory specialists in school desegregation; and (3) outlines procedures for preparing a grant proposal. (JF)

EDO 43096

OE/BESE
TITLE IV

DIVISION OF EQUAL EDUCATIONAL OPPORTUNITIES

POLICIES AND PROCEDURES MANUAL

FOR

GRANTS TO SCHOOL BOARDS

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

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U.S. Department of Health, Education, and Welfare
Office of Education
Bureau of Elementary and Secondary Education
Washington, D.C.

EA C03 029

Revised, October 1969

DISCRIMINATION PROHIBITED

Title VI of the Civil Rights Act of 1964 states: "No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." Therefore, the Equal Educational Opportunities Program, like every program or activity receiving financial assistance from the Department of Health, Education, and Welfare, must be operated in compliance with this law.

DIVISION OF EQUAL EDUCATIONAL OPPORTUNITIES

POLICIES AND PROCEDURES MANUAL

FOR

GRANTS TO SCHOOL BOARDS

Authorized under Title IV, Section 405
Public Law 88-352
The Civil Rights Act of 1964

GRANTS MANUAL

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I. Nature and Purpose of Grants

The Division of Equal Educational Opportunities, of the Office of Education, makes grants to school boards under Title IV, Section 405, of the Civil Rights Act of 1964 (Public Law 88-352). These grants are used to pay, in whole or in part, the cost of:

1. In-service training for teachers and other school personnel to help them deal with problems incident to desegregation.

2. Employment of Advisory Specialists to help solve problems incident to desegregation.

Eligibility

Any agency administering a system of one or more public schools, and any agency responsible for the assignment of students to or within such a system, may submit an application for a grant. Eligible applicants include:

1. Any local board of education

2. Any board governing an area, regional, or district school system.

Awards are made only for programs dealing with problems incident to school desegregation, as distinguished from ordinary operating activities of the school system. Problems incident to desegregation means problems arising from the assignment of students to and within public schools without regard to differences in their race, color, religion, or national origin; it does not include problems exclusively related to the assignment of students to public schools in order to overcome racial imbalance.

Types of Programs

1. Grant funds may be used for in-service training of school personnel to deal with problems incident to desegregation. This training may include all classroom, laboratory, field, and study experiences constituting a planned learning situation. All categories of school personnel may be involved, including teachers, administrators, school board members, counselors, health workers, clerical and maintenance staffs, etc.

2. Grants may be used to employ specialists to advise the applicant school board, or school personnel, on solving problems

related to desegregation in the system. The specialist must possess professional training or experience appropriate for the particular problems to be solved.

Whether for in-service training of school personnel or for the employment of advisory specialists, grant-supported programs should be tailored to the particular needs of the applicant school system. No one program approach has been found suitable for the wide variety of problems which may confront school systems.

Usually few people outside a school system are as aware of its particular problems as are its own staff and officials. Therefore, program characteristics should receive careful attention, in direct relation to specific situations, before the grant proposal is actually drawn up. The grant program should be viewed and planned within the framework of the school system's total desegregation plan. A comprehensive desegregation plan, dealing with every aspect of the process, should be developed. Then, the relationship of the proposed in-service training or advisory specialist program to the other components of the plan should be established. Technical assistance from Office of Education staff with any phase of program planning or proposal development may be arranged upon request through the Division of Equal Educational Opportunities.

Proposal Selection Priorities

The primary mission of the program is to focus available Title IV resources on permanent elimination of school segregation. Priority for support will be given to those proposals from local school districts which:

-- Show evidence of definite commitment to school desegregation within the district.

-- Provide for development of comprehensive school desegregation plans.

-- Identify and deal with specific problems associated with school desegregation, as opposed to dealing with broad problems of quality education for which other Federal assistance funds are available.

-- Make optimum use of available local, State, and university resources.

-- Show that significant results can be economically achieved within a limited time, permitting Title IV support funds to be phased out of the program during that period.

-- Include the use of advisory specialists for the planning phase of desegregation and/or in-service training clearly aimed at implementing and supporting a comprehensive school desegregation plan.

-- Provide for continuing support and assistance to the in-service training participants.

-- Demonstrate innovative programs of school desegregation.

II. Preparation of the Grant Proposal

Proposals should, under the categories designated, fulfill the requirements described below. Conciseness of purpose, clarity of objectives and procedures, and innovation in evaluation claim high priority in the assessment of these proposals.

The body of the proposal should be preceded by a Title Page and an Abstract Page. For their formats, see pages 17 through 19.

Background Information

A detailed description of the system's desegregation efforts, both successes and failures, is necessary for evaluation of the proposed program as part of the total plan to accomplish school desegregation. A clear and fairly detailed description of the community and its schools including current data on the status of desegregation in the system should be provided. Statistical information, data on economic and social patterns, area history, unusual community features, and geography should be included.

Problem Identification

Problems incident to school desegregation are those problems which occur, or are likely to occur, as a consequence of or in conjunction with the process of desegregating schools. Accurate identification and analysis of such problems is crucial to the success of any attempts to alleviate them. Applicants should make certain that the specific problems in their school system are carefully delineated prior to attempting to develop the details of the program proposal.

The specific reference, in Title IV of the legislation, to "problems incident to desegregation" indicates that problems of instruction and curriculum within desegregated schools, as well as problems of inter-personal and inter-group relations, are valid targets for programs financed under this Title.

Program objectives should be established in accordance with specific problems existing in the school district. Objectives, if achieved, should significantly bring solution to one or more of the problems facing the district, and program procedures should be designed to reach the objectives. Finally, evaluation should measure the degree to which objectives are reached in a program, by showing how well the problems facing the school district have been resolved. Thus the entire program hinges on a careful identification of the "problems incident to school desegregation."

The Program Plan

After key problems have been identified, the approach for solving them should be selected. A grant may be directed toward an in-service training program for school personnel, or the employment of advisory specialists, or a combination of both. In addition, Title IV grant program activities in the system should be coordinated with local, State, or federally supported programs. Whatever the nature of the program, it should provide for demonstration and innovation in school desegregation.

The program planning should give attention to each of the following, and the proposal should explain each.

a. Objectives

The program objectives should be specific, measurable, and concise. They should parallel the problems identified above and form the basis for program evaluation. If realized, they should make a significant contribution to solving the problems.

b. Procedures

Procedures should be selected to obtain maximum results from the resources expended. Program planning will often be strengthened if it is a cooperative venture, with representatives of the various categories of school personnel encouraged to present their ideas. The opportu-

nities for working with area institutions of higher education should also be explored. Possibly the program of in-service training can be coordinated with institutes sponsored by the college or university. Such cooperation would bring a greater concentration of resources than might occur through independent activity.

For in-service training programs, the following elements should be developed in keeping with program objectives and be described in the proposal:

(1) Methods of Presentation: The whole range of learning situations may be employed in the training program. Since the objectives of instruction will involve changes in behavior and attitudes, applicants are encouraged to avoid the exclusive use of classroom lectures. The symposium, the seminar, the workshop, the practicum, and continuing on-the-job supervision by instructors are all suited to programs for improving the ability to cope with desegregation problems. Since the ultimate test of this ability is in the school and the community, programs which use these locations for laboratory and field experiences can be particularly effective. The proposal should describe methods in detail, showing how participants are to receive consultation and guidance from the program staff both during and after the training sessions. If curriculum or instructional materials are to be developed as part of the program, their general nature should be indicated.

(2) Schedule of Training Sessions: The frequency, length, and duration of scheduled sessions should consider the following factors: the type of school personnel to be reached; the grouping of participants, not only to insure desegregation but to provide a wide range of experience for each participant; spacing of activities to allow concepts to be developed, attitudes to be examined, and new techniques to be applied; variety of grouping to accommodate the changing attitudes, interests, and energies of the participants; and time for effective and continuing supervision of per-

sonnel. Besides details of timing, the proposal should show how time is provided for sessions: whether within the school week or on weekends, whether during normal work hours or outside them.

(3) Selection of Participants: Programs should be directed, whenever possible, to personnel who can serve as leaders in their respective work areas, influencing the attitudes and practices of their co-workers. Thus the results of direct program participation can be multiplied in effectiveness.

The applicant school system is responsible for selecting participants, provided such selection is in harmony with the overall objectives of the Equal Educational Opportunities authorization. The proposal should give the selection procedures, racial composition, and the number of school personnel to attend.

Plans for programs using advisory specialists should be developed prior to the actual selection of the specialist, within the context of the total school desegregation plan. The proposal should specify the nature of the assistance sought, its importance, the role of the specialist in relation to regular members of the school system staff, the persons and groups with whom he is to work, and the conditions of time and location under which he will work.

Staff

Staff personnel used in the in-service training program or the advisory specialist program may be employed on a full- or part-time basis. Persons supported by a grant may be used only for the purpose stated in the proposal. Where both types of programs are proposed, plans should be coordinated, with an apportioning of the total time of staff personnel and specialists working in both programs. Key staff personnel should have demonstrated competency in the areas in which they are to be utilized.

Facilities and Equipment

Proper facilities and equipment are essential for maximum learning results. Ordinarily, their provision is considered the responsibility of the applicant.

Administrative and Service Requirements

Grant programs should receive competent and continuous direction. If such direction cannot be provided by the chief administrator of the school system, a director should be employed, with delegated authority appropriate to the responsibilities involved.

Plans for the performance of support and maintenance functions should be made beforehand and explained in the proposal. These functions may include: transportation of in-service training program participants for field trips; transportation of non-participating school personnel for observation visits to demonstration projects; transportation of staff and advisory personnel to obtain information for planning and operation, on trips inside the school system; telephone and other communications pertinent to program operation; building and facility operation and maintenance; and food, recreation, and housing arrangements for participants or staff, if these are necessary. In planning for these functions, their effect in meeting program needs should be carefully considered.

Evaluation and Dissemination

The proposal should contain plans for continuous and terminal evaluation of program activities. Since program objectives are designed to solve identified desegregation problems, evaluation procedures should measure the attainment of these objectives. There need not be an elaborate system of data collection and analysis, but sufficient information should be obtained for a valid appraisal of the program. Upon request the Division of Equal Educational Opportunities can provide assistance in establishing procedures for self-evaluation. In addition, the Division will carry out general evaluation by report analysis, on-site visits, and other measures in cooperation with school system officials.

The development of imaginative ways to share new knowledge, both within the school system and with other systems, is encouraged. In-service training programs which include laboratory or field activities can usually employ them as

demonstration centers, introducing new ideas to people who are not directly participating in the program. The evaluation report should include any news clippings, pamphlets, booklets, or descriptions of procedures and incidents that may be helpful to other school systems.

Budget

The budget should reflect realistic and business-like operations. The amount of money requested should be the minimum amount necessary to fulfill the program objectives. Care should be taken to supply all information required for each line item. Note carefully the instructions as to supportable items and the restrictions upon them. The following pages contain budget formats and explanations.

III. Format for Budget
In-Service Training Program

In-Service Training Program Under Title IV, Section 405, P.L. 88-352

Submitted by: Official name and address of the applicant school board or agency.

Duration: Beginning Date_____ Ending Date_____

NOTE: Salaries, service charges, travel costs, etc., must conform to the standard rate of the school board or agency, within maximum limitations indicated.

ITEM	AMOUNT REQUIRED FOR PROGRAM Grant Funds	Other Funds
DIRECT COSTS: Direct costs are those that are specifically incurred in the conduct of the program. These may include the following:		
a. Compensation for Personal Services: Include salaries, wages, and honoraria directly attributable to the program, for the director, instructional staff, secretaries, clerks, or other personnel. Such compensation should be charged at the actual rates paid by the applicant. Where any person works less than full time on the program, reasonable estimates of time spent on the program may be used in determining the part of the salary to be charged to the program. List all position titles,		

	Grant Funds	Other Funds
and state the percent of time on the program and the per annum or per diem salary of each person.		
b. Compensation for Substitute Personnel: Include the salaries or wages of substitute personnel required to take the place of program participants when the in-service training is conducted during normal school hours.		
c. Employee Services and Benefits: Include costs such as insurance, social security, pension, etc.		
d. Compensation for Participants: Include payment of teachers and other school personnel for actual participation in in-service training outside of regular school hours. This additional compensation is to be at the rate of $3 per hour, or the hourly rate at which the individual is paid by the grantee, whichever is less, not to exceed $15 per day or $75 per week. Compensation above these rates may be paid, but not from Federal funds.		
e. Supplies and Materials: Amounts required for ordinary operating supplies and training materials should be indicated by		

	Grant Funds	Other Funds
subtotals for each of those two categories. Amounts required for special training materials should be indicated for each type of item required.		
f. Tuition and Fee Payments: Include payments of tuition for participants in in-service training programs if these involve attendance at institutions of higher education or in approved courses or activities conducted by other agencies. The per capita costs involved should be indicated. In no instance is tuition or fee costs to be included in grant proposals for attendance at institutes or other activities receiving Federal support for these costs.		
g. Travel: Other than air transportation, travel will be in accordance with the established policy of the grantee, except that allowances from Federal funds can only be made to the maximums provided by U.S. Government regulations in effect at the time that travel is performed.		
(1) Instructors: Travel from place of residence or employment to the program site, and return, should be estimated for the instructors. Travel may also be paid for members of the program staff when necessary.		

	Grant Funds	Other Funds
(2) Participants: Travel necessary for the effective operation of the proposed in-service training program may be made in accordance with the established policy of the applicant and current U.S. Government regulations.		
h. Communications: Include long-distance telephone calls, telegrams, and postage which are directly attributable to and necessary for the implementation and conduct of the program described.		
i. Printing: Include the cost of printing brochures, reports, and nominal items which are specifically required for the conduct or promotion of the program.		
j. Transportation Costs: Include freight, express, cartage, and parcel post charges relating either to goods purchased, in process, or delivered.		
k. Services: Itemize requirements for statistical, duplicating, testing, or other services to be performed in conjunction with the in-service training program.		
l. Other: List other essential items not listed above.		

	Grant Funds	Other Funds
SUBTOTAL	_____	_____
INDIRECT COSTS: These are overhead and may be shown as an applicant contribution to the program.		
TOTAL	_____	_____

Advisory Specialist Program

Employment of Advisory Specialists Under Title IV, Section 405, P.L. 88-352

Submitted by: Official name and address of the applicant school board or agency.

Duration: Beginning Date_____ Ending Date_____

NOTE: Salaries, service charges, travel costs, etc., must conform to the standard rate of the school board or agency, within maximum limitations indicated.

ITEM	AMOUNT REQUIRED FOR PROGRAM Grant Funds	Other Funds
DIRECT COSTS: Direct costs are those that are specifically incurred in the conduct of the program. These may include the following:		
a. Compensation for Personal Services: Includes salaries, wages, and honoraria directly attributable to the program, including the director, secretaries, and clerks, where identified with this program. Such compensation should be charged at the actual rates paid by the applicant. Where any person works less than full time on the program, reasonable estimates of time spent on the program may be used in determining the part of the salary to be charged to the program. List all position titles, and state the percent of time on the program and the per annum or per diem salary of each person.		

	Grant Funds	Other Funds
b. Employee Services and Benefits: Include costs such as insurance, social security, pension, etc.		
c. Supplies and Materials: Amount required for ordinary operating supplies and training materials should be indicated by subtotals for each of those two categories. Amounts required for special materials should be indicated for each type of item required.		
d. Travel for the Advisory Specialist: Other than air transportation, travel will be in accordance with the established policy of the grantee, except that allowances from Federal funds can only be made to the maximums provided by U.S. Government regulations in effect at the time that travel is performed. Travel from place of residence or employment to the program site, and return, should be estimated for the Advisory Specialist. Travel may also be paid for members of his program staff when necessary.		
e. Communications: Include long-distance telephone calls, telegrams, and postage which are directly attributable to and necessary for the implementation and conduct of the program described.		

	Grant Funds	Other Funds
f. Printing: Include the cost of printing brochures, reports, and nominal items which are specifically required for the conduct or promotion of the program. For any printing or binding job in excess of 225 copies, it is necessary to secure a waiver from the U.S. Government Printing Office if the job is to be done outside Government Printing Office facilities.		
g. Transportation Costs: Include freight, express, cartage, and parcel post charges relating either to goods purchased, in process, or delivered.		
h. Services: Itemize requirements for statistical, duplicating, testing, or other services to be performed in conjunction with the program.		
i. Other: List other essential items not listed above.		
SUBTOTAL	_____	_____
INDIRECT COSTS: No indirect costs are allowed under this section of the program.		
TOTAL	_____	_____

IV. Format for Title Page

PROPOSAL FOR GRANT PROGRAM
ON PROBLEMS OF SCHOOL DESEGREGATION

Under the Provisions of Title IV, Section 405, of
Public Law 88-352

The Civil Rights Act of 1964

Title: The title should be concise and descriptive. Key words in the title should indicate the type of desegregation problems to be met and the nature of the groups to be involved. Avoid technical terms that are obscure.

Submitted by: Official name and address of the applicant school board or agency, including zip code.

Initiated by: Name, position, mailing address (including zip code), and telephone number of the individual who initiated the proposal, ordinarily the chief executive officer of the school system. The signature of this initiator should appear on all copies of the proposal submitted.

Authorized by: Name, position, mailing address (including zip code), and telephone number of the individual authorized to enter into the grant agreement on behalf of the governing board involved, ordinarily the head of that board. The signature of this authorized person should appear on all copies of the proposal, under the following statement: "By signing and submitting this Proposal, we hereby accept and agree to the Terms and Conditions set out in the Policies and Procedures Manual for the program, acknowledge that any grant award issued on the basis of this Proposal will be subject to these Terms and Conditions, and agree that if awarded a grant we will fully comply with them."

_____(signature)

Fiscal Officer: Name, position, mailing address (including zip code), and telephone number of the official authorized to receive Federal funds on behalf of the applicant school board or agency.

Federal Funds Requested:

In-Service Training $_____

Advisory Specialists $_____

Total Federal funds requested $_____

Duration: Beginning Date_____ Ending Date_____

Date Transmitted: _____

V. Format for the Abstract Page

ABSTRACT

On a single, separate page, present a summary of the proposal. Use the following headings:

1. Title:
2. Submitted by:
3. Director of the Program:
4. Objectives:
5. Procedures:
6. Time Schedule: (i.e., beginning and ending dates)
7. Total cost of the program:
8. Total Federal funds requested:

Place the Abstract immediately after the Cover Page.

VI. Processing of the Grant Proposal

Ten (10) copies of the proposal, all signed by appropriate officials and/or requests for additional information regarding the Title IV program should be directed to the Senior Program Officer at the address in which your State is located.

(A) Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, and West Virginia.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
220 7th Street, N.E.
Charlottesville, Virginia 22901

(B) Alabama, Florida, Georgia, Kentucky, Mississippi North Carolina, South Carolina, and Tennessee.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
Peachtree - Seventh Building, Room 404
50 7th Street, N.E.
Atlanta, Georgia 30323

(C) Illinois, Indiana, Minnesota, Michigan, Ohio, and Wisconsin.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
433 West Van Buren Street
Chicago, Illinois 60607

(D) Arkansas, Louisiana, New Mexico, Oklahoma, and Texas.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
1114 Commerce Street
Dallas, Texas 75202

(E) Alaska, Arizona, California, Hawaii, Nevada, Oregon, and Washington.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
760 Market Street
San Francisco, California 94102

(F) Colorado, Connecticut, Idaho, Iowa, Kansas, Maine, Massachusetts, Missouri, Montana, Nebraska, New Hampshire, New Jersey, New York, North Dakota, Rhode Island, South Dakota, Utah, Vermont, Wyoming.

Chief, Northern and Western Branch
U.S. Office of Education
Division of Equal Educational Opportunities
400 Maryland Avenue, S.W.
Washington, D. C. 20202

Each proposal will be evaluated by members of the Division of Equal Educational Opportunities staff and, where appropriate, by outside evaluators with special expertise in school desegregation. The evaluation committees will determine whether a given proposal should be supported; should not be supported; or should be negotiated.

Approved proposals will be submitted to the Commissioner of Education for final approval. The proposing institution will subsequently be notified of the acceptance or rejection of the proposal. If the proposal is accepted, the notification will constitute the creation of a binding agreement. It will be subject to the grant Terms and Conditions contained in the attached supplement.

Department of Health, Education, and Welfare
Office of Education
Washington, D.C. 20202

VII. GRANT TERMS AND CONDITIONS

For

Educational Training Projects

1. DEFINITIONS
2. SCOPE OF THE PROJECT
3. LIMITATIONS ON COSTS
4. ALLOWABLE COSTS
5. ACCOUNTS AND RECORDS
6. TERMINATION
7. PRINTING AND DUPLICATING
8. REPORTS
9. EXTENSION OF PROJECT PERIOD OR BUDGET PERIOD
10. EQUIPMENT
11. CHANGE OF KEY PERSONNEL
12. APPLICABILITY OF STATE AND LOCAL OR INSTITUTIONAL PROCEDURES
13. COPYRIGHT AND PUBLICATION
14. ACKNOWLEDGMENT AND DISCLAIMER IN PUBLICATION
15. PATENT RIGHTS
16. SERVICE CONTRACTS
17. DUAL COMPENSATION

1. DEFINITIONS

As used in the grant documents relating to this award, the following terms shall have the meaning set forth below:

a. "Commissioner" means the U.S. Commissioner of Education.

b. "Grantee" means the institution, organization, or individual named in the grant as the recipient of the grant award.

c. "Grants Officer" means the employee of the U.S. Office of Education who has been delegated authority to execute or amend the grant document on behalf of the Government.

d. "Project Officer" means the employee of the U.S. Office of Education who is responsible for monitoring the project of the Grantee to assure compliance with the terms and conditions of the grant.

e. "Project" is the identified activity or program approved by the Commissioner for support.

f. "Project Director" is the person responsible for directing the training program.

g. "Project Period" means the length of time specified in the Notification of Grant Award for which a project is approved.

h. "Budget Period" means the period of time (within or coterminous with the project period) specified in the Notification of Grant Award, during which project costs may be charged against the grant. A budget period is generally twelve (12) months but may be for a different period of time, if appropriate.

i. "Budget" means the amount of funds approved by the Office of Education for designated services, materials, and other items.

2. SCOPE OF THE PROJECT

The project to be carried out hereunder shall be consistent with the proposal as approved for support by the Commissioner and referred to in the Notification of Grant Award and shall be performed in accordance with this document.

3. LIMITATIONS ON COSTS

a. The total cost to the Government for the performance of the grant will not exceed the amount set forth in the Notification of Grant Award or any appropriate modification thereof. The Government shall not be obligated to reimburse the Grantee for costs incurred in excess of such amount unless and until the Grants Officer shall have notified the Grantee in writing that such amount has been increased and shall have specified in a revised Grant Award a revised amount which shall thereupon constitute the revised total cost of performance of the grant.

b. The limitation on costs stated in paragraph "a" above shall automatically be increased to cover the cost of allowance for additional dependents not specified in the Notification of Grant Award.

4. ALLOWABLE COSTS

a. Allowability of direct costs incurred under this grant shall be determined in accordance with the principles and procedures set forth in the documents identified below, as amended prior to the date of the award.

(1) Bureau of the Budget Circular A-21, dated March 3, 1965, with all revisions issued effective prior to the date of the award, if the Grantee is an institution of higher education; or

(2) Exhibit X-2-66-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a hospital; or

(3) Exhibit X-2-67-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a local Government agency; or

(4) Exhibit X-2-68-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a nonprofit institution, as defined therein; or

(5) DHEW Pamphlet OASC-6, if the Grantee is a State Government agency.

b. Indirect costs for educational training programs will be based on a fixed rate of eight percent (8%) of the allowable direct costs, including stipends and dependency allowance.

c. Institutional allowances, applicable to any educational training program, which are not predetermined by the statute, regulations, or program guidelines, will be subject to audit and possible adjustment, in accordance with the applicable subparagraph of paragraph "a" above. In no event will the institutional allowance exceed the amount authorized by the statute, regulations, or guidelines governing the program.

5. ACCOUNTS AND RECORDS

a. Accounts

The Grantee shall maintain accounts, records and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant. The system of accounting employed by the Grantee shall be in accordance with accounting principles generally used by State or local agencies or institutions of higher education, and will be applied in a consistent manner so that the project expenditures can be clearly identified.

b. Examination of Records

All records directly relating to transactions under this grant are subject to inspection and audit by the Department of Health, Education, and Welfare at all reasonable times during the period of retention provided for in paragraph d below.

c. Disposition of Records

Except as provided in paragraph d, below, all pertinent records and books of accounts related to this grant in the possession of the Grantee shall be preserved by the Grantee for a period of five (5) years after the close of the budget period in which final expenditures are made; or until audit by or on behalf of the Department, whichever is earlier.

d. Questioned Expenditures

Records relating to any litigation or claim arising out of the performance of this grant, or costs and expenses of this grant to which exception has been taken as a result of inspection or audit, shall be retained by the Grantee until such litigations, claims or exceptions have been disposed of.

6. TERMINATION

Research training grants may be terminated or revoked in accordance with Subparagraph 151.11 and 151.12 of the regulations in 45 CFR. Other grants may be terminated in whole or in part by the Government in the event the Grantee fails to carry out the terms of the grant in accordance with the stated objectives. Termination shall be effected by delivery to the Grantee of a written notification thereof, signed by the Grants Officer.

Financial obligations incurred by the Grantee prior to the effective date of the termination will be allowable to the extent they would have been allowable had the grant not been terminated. The Grantee agrees to furnish the Grants Officer within sixty (60) days of the effective date of termination an itemized accounting of funds expended, obligated, and remaining under the grant. The Grantee also agrees to remit within thirty (30) days of the receipt of a written request therefor any amounts found due.

7. PRINTING AND DUPLICATING

All printing and duplicating authorized under this grant are subject to the limitations and restrictions contained in the current issue of the U.S. Government Printing and Binding Regulations if done for the use of the Office of Education within the meaning of those Regulations.

8. REPORTS

The Grantee shall submit such fiscal and technical reports as may be required by the Office of Education, and in the quantity and at the time stated in the report schedule which is set forth in the Special Provisions.

9. EXTENSION OF PROJECT PERIOD OR **BUDGET** PERIOD

When progress under the grant is delayed and circumstances make it necessary to request an extension of either the project period or the budget period, or both, without additional funds, it is the policy of the Office of Education to permit such extensions upon written request. Where it appears that the activity to be accomplished within the project period or the budget period, or both, will be completed within three (3) months after the expiration date, it will not be necessary to request an extension; however, the Grantee should notify the Project Officer, in writing, of the delay in completion. Where it appears that the time required will exceed three (3) months, the Grants Officer should be informed, and an extension should be requested.

10. EQUIPMENT

a. Definition

As used in this Article the term "equipment" means nonconsumable personal property to be used in the performance of the grant, having an acquisition cost of $300 or more and a useful life expectancy greater than one (1) year.

b. Title and Disposition

Title to equipment purchased with grant funds will be vested in the Grantee. Notwithstanding the foregoing, however, should the Commissioner, during the useful life of any equipment acquired with funds under the grant, determine that transfer of title to and possession of such equipment, or any other disposition, is necessary or desirable in order to accomplish the purposes of the program, the Grantee shall dispose of such equipment as the Grants Officer may direct.

c. Use

Equipment purchased with grant funds shall be used only to accomplish the purposes of the grant unless another use is approved in writing by the Grants Officer. The Grantee shall maintain current inventory of all such equipment and shall safeguard and protect all such equipment in accordance with prudent property management practices.

11. CHANGE OF KEY PERSONNEL

The Project Director and other grant personnel specified by name in the proposal are considered to be essential to the work being performed. If for any reason substitution of a specified individual becomes necessary, the Grantee shall provide timely written notification to the Grants Officer. Such written notification shall include the successor's name, with a resume of his qualifications.

12. APPLICABILITY OF STATE AND LOCAL OR INSTITUTIONAL PROCEDURES

Except to the extent otherwise provided for in this document or any document incorporated herein by reference, nothing herein or therein shall be construed so as to alter the applicability of any rule, regulation or procedure of the applicant which would otherwise pertain to the activity covered by this grant.

THE FOLLOWING CLAUSES APPLY TO MATERIALS PRODUCED BY THE GRANTEE IN CARRYING OUT THE OBJECTIVES OF THE PROJECT AND ARE NOT APPLICABLE TO MATERIALS PRODUCED BY TRAINEES OR FELLOWS UNLESS THEY ARE PRODUCED AT THE DIRECTION OF THE GRANTEE.

13. COPYRIGHT AND PUBLICATION

a. The term "materials" as used herein means writings, sound recordings, films, pictorial reproductions, drawings or other graphic representations, computer programs, and works of any similar nature produced under this grant. The term does not include financial reports, cost analyses, and similar information incidental to grant administration.

b. It is the policy of the Office of Education that the results of activities supported by it should be utilized in the manner which would best serve the public interest. To that end, except as provided in Paragraph c, the Grantee shall not assert any rights at common law or in equity or establish any claim to statutory copyright in such materials; and all such materials shall be made freely available to the Government, the

education community, and the general public.

c. Notwithstanding the provisions of paragraph b above, upon request of the Grantee or his authorized designee, arrangements for copyright of the materials for a limited period of time may be authorized by the Commissioner, through the Grants Officer, upon a showing satisfactory to the Office of Education that such protection will result in more effective development or dissemination of the materials and would be in the public interest.

d. With respect to any materials for which the securing of copyright protection is authorized under paragraph c, the Grantee hereby grants a royalty-free, nonexclusive and irrevocable license to the Government to publish, translate, reproduce, deliver, perform, use, and dispose of all such materials.

e. To the extent the Grantee has the right and permission to do so, the Grantee hereby grants to the Government a royalty-free, nonexclusive and irrevocable license to use in any manner copyrighted material not first produced in the performance of this grant but which is incorporated in the materials. The Grantee shall advise the Grants Officer of any such material known to it not to be covered by such license.

14. ACKNOWLEDGMENT AND DISCLAIMER IN PUBLICATION

Any publication or presentation resulting from or primarily related to the project being performed hereunder shall contain the following acknowledgment:
"The project presented or reported herein was performed pursuant to a Grant from the U.S. Office of Education, Department of Health, Education, and Welfare. However, the opinions expressed herein do not necessarily reflect the position or policy of the U.S. Office of Education, and no official endorsement by the U.S. Office of Education should be inferred."

15. PATENT RIGHTS

a. Policy

In accordance with Department of Health, Education, and Welfare Regulations (45 CFR Subtitle A, Parts 6 and 8), all inventions made in the course of or under any Office

of Education grant shall be promptly and fully reported to the Assistant Secretary (Health and Scientific Affairs), Department of Health, Education, and Welfare.

The Grantee institution and the principal investigator shall neither have nor make any commitments or obligations which conflict with the requirements of this policy.

b. Determination

Determination as to ownership and disposition of invention rights, including whether a patent application shall be filed, and if so, the manner of obtaining, administering, and disposing of rights under any patent application or patent which may issue, shall be made either:

(1) By the Assistant Secretary (Health and Scientific Affairs) whose decision shall be considered as final, or

(2) Where the institution has a separate formal institutional agreement with the Office of Education or the Department, by the Grantee institution in accordance with such agreement.

Patent applications shall not be filed on inventions under (1) above without prior written consent of the Assistant Secretary (Health and Scientific Affairs) or his representative. Any patent application filed by the Grantee on an invention made in the course of, or under, an Office of Education grant shall include the following statement in the first paragraph of the specification:

"The invention described herein was made in the course of, or under, a grant from the U.S. Office of Education, Department of Health, Education, and Welfare."

c. Reports and Other Requirements

A complete written disclosure of each invention in the form specified by the Assistant Secretary (Health and Scientific Affairs) shall be made by the Grantee promptly after conception or first actual reduction to practice, whichever occurs first under the grant. Upon request, the Grantee shall furnish such duly executed instruments (prepared by the Government) and such other papers as

are deemed necessary to vest in the Government the rights reserved to it under this policy statement to enable the Government to apply for and prosecute any patent application, in any country, covering each invention where the Government has the right to file such application.

The Grantee shall furnish interim reports (Annual Invention Statements) prior to the continuation of any grant listing all inventions made during the budget period whether or not previously reported, or certifying that no inventions were made during the applicable period. Upon completion of the project period, the Grantee shall furnish a final invention report listing all inventions made during performance of work on the supported project, or certifying that no inventions were made during that week.

d. Supplementary Patent Agreements

The Grantee shall obtain appropriate patent agreements to fulfill the requirements of this provision from all persons who perform any part of the work under the grant, except such clerical and manual labor personnel as will have no access to technical data, and except as otherwise authorized in writing by the Department.

The Grantee shall insert, in each subcontract or agreement having experimental, developmental, or research work as one of its purposes, a clause making this provision applicable to the subcontractor and its employees.

e. Definitions

As used in this provision, the stated terms are defined as follows for the purposes hereof:

(1) "Invention" or "invention or discovery" includes any art, machine, manufacture, design or composition of matter, or any new and useful improvement thereof or any variety of plant, which is or may be patentable under the Patent Laws of the United States.

(2) "Made" when used in relation to any invention or discovery means the conception or first actual reduction to practice of such invention in the course of the grant.

f. Inventions Resulting from Grants Made in Support of Research by Federal Employees

Inventions resulting from grants made in support of research by Federal employees shall be reported simultaneously to the Assistant Secretary (Health and Scientific Affairs) pursuant to the terms of the grant and to the employing agency under the terms of Executive Order 10096, as amended.

16. SERVICE CONTRACTS

The Grantee may enter into contracts or agreements for the provision of part of the services under this grant by other appropriate public or private agencies or institutions. Such contract or agreement shall incorporate these grant terms, and all other rules and regulations, applicable to the program, shall describe the services to be provided by the agency or institution, and shall contain provisions assuring that the Grantee will retain supervision and administrative control over the provision of services under the contract. Services to be provided by contract pursuant to this section shall be specified in the project proposal or in an amendment thereto, and the proposed contract shall be submitted to the Grants Officer and be approved by him in writing.

17. DUAL COMPENSATION

If a project staff member, lecturer, or consultant is involved simultaneously in two or more projects supported by Federal funds, he may not be compensated for more than "one hundred percent (100%) time" from Federal funds for any part of the period of dual involvement.

No project funds or funds from the Grantee or other sources may be used to pay a fee, travel or per diem, for U.S. Office of Education staff who might be asked to appear as guest speakers or invited to attend project functions.

SPECIAL PROVISIONS

1. Payment Procedures

To obtain Federal funds, Grantees must submit forms OE-5141, Quarterly Estimated Requirements for Federal Cash, and OE-5140, Monthly/Quarterly Report of Disbursements of Federal Cash (see pages 33 through 36). These forms are sent with the Notification of Grant Award. Instructions for completing the forms are printed on the back. The Report of Disbursements of Federal Cash is to be submitted as a quarterly report, and is due by the 10th day of the month following the end of a calendar quarter.

2. Reports

Technical and expenditure reports are required as follows:

a. Technical Reports

1. Technical progress reports shall be submitted quarterly in five (5) copies.

2. A final technical report shall be submitted within ninety days of the end of the grant award period or the termination of the grant, whichever is earlier, in ten (10) copies.

Reports should be sent to the appropriate office indicated on pages 20 through 21.

b. A final expenditure report for the period covered by the project grant shall be submitted to the appropriate office shown on pages 20 through 21 within 90 days following the expiration date of the award period. A suggested format for the report can be found on page 37.

OE-5140 (REV. 2/67)

BUDGET BUREAU NO. 51-R0621
APPROVAL EXPIRES 6/30/71

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

FINANCE BRANCH

MONTHLY/QUARTERLY REPORT OF DISBURSEMENTS OF FEDERAL CASH

INSTRUCTIONS: Please complete and submit two copies of this report by the 10th day of each month following report period. (See Reverse Side)

1. REPORT FOR PERIOD ENDING: _____, 19____

3. NAME OF PROGRAM

2. CONTRACT OR GRANT NUMBER

4. NAME AND ADDRESS OF CONTRACTOR OR GRANTEE:

DISBURSEMENT ITEMS	AMOUNT OF DISBURSEMENTS
5. Disbursements of Federal cash previously reported	$
6. Disbursements of Federal cash for current reporting period	
7. Federal cash on hand at end of current reporting period	
8. *(Federal cash accounted for)* TOTAL	$

9. REMARKS:

10. SUBMITTED BY: *(Type name and title)*

11. SIGNATURE OF REPORTING OFFICIAL

12. DATE:

INSTRUCTIONS FOR COMPLETING MONTHLY/QUARTERLY REPORT OF DISBURSEMENTS OF FEDERAL CASH

This report serves as either a monthly or quarterly report of disbursements of Federal cash under a specific Office of Education contract or grant. While it is the OE policy to make monthly payments as requested by the contractor on Form OE-5141, "Quarterly Estimated Requirements for Federal Cash," adjustments will be made in a subsequent payment if this report indicates significant differences between actual disbursements as compared to amounts previously estimated, resulting in an excess of Federal cash on hand.

1. Report for Period Ending: Show ending month and year of period for which report is made.

2. Contract or Grant Number: Enter number as shown on the contract or grant award document signed by the Office of Education contracting or grants officer.

3. Name of Program: Show program title as it appears on the Office of Education contract or grant award document.

4. Name and Address of Contractor or Grantee: Enter name and address of contractor or grantee.

5. Disbursement of Federal Cash Previously Reported: Enter the cumulative total of Federal cash previously disbursed and reported for this contract or grant.

6. Disbursements of Federal Cash for Current Reporting Period: Enter total Federal cash disbursed during the current reporting period. Include any adjustments for periods previously reported and explain any significant amounts in Item 9.

7. Federal Cash on Hand at End of Current Reporting Period: Enter Federal cash on hand at end of current reporting period.

8. Total: Enter total of Items 5, 6, and 7.

9. Remarks: Grantee should include an explanation of the cash balance shown in Item 7 if it is greater than the next 30 day requirements.

10. Submitted by: Type or print the name and title of authorized official (project director, or the authorized representative of the grantee).

11. Signature of Reporting Official: To be signed by authorized official in consultation with the project fiscal officer.

12. Date: Enter date this report is signed.

This form and all inquiries pertinent thereto should be addressed to:

Chief, Fiscal Services Section, Finance Branch, U.S. Office of Education
400 Maryland Avenue, S.W., Washington, D.C. 20202

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

BUDGET BUREAU NO. 51-R0622
APPROVAL EXPIRES 6/30/71

QUARTERLY ESTIMATED REQUIREMENTS FOR FEDERAL CASH

INSTRUCTIONS: Please complete and submit two copies of this report 30 days prior to the beginning of each quarter. (See Reverse Side)

1. REPORT PERIOD FOR QUARTER ENDING _____, 19____

3. NAME OF PROGRAM

2. CONTRACT OR GRANT NUMBER

4. NAME AND ADDRESS OF CONTRACTOR OR GRANTEE	5. DATE ESTIMATED CASH IS NEEDED *(Show month and day)*	6. ESTIMATED AMOUNT REQUIRED
		$
	TOTAL →	$

7. REMARKS:

8. SUBMITTED BY *(Type name and title)*

9. SIGNATURE OF REQUESTING OFFICIAL

10. DATE

ACCOUNTING DATA
(For Use Of Office Of Education Only)

R T (1)	MAC. NO. (2)	F Y (3)	BATCH NO. (4-7)	COMMON ACCOUNTING NO. *(UAN)* (8-15)	EFF DATE (16-18)	OBLIGATION NUMBER (19-33)	TRANS. CODE (34-36)	AMOUNT *(Dollars & Cents)* (37-48)	NEG. SYM (49)	OBJECT CLASS (50-53)	VENDOR NUMBER (54-65)

VOUCHER SCHEDULE NUMBER (66-71)	GOVT. NON-GOVT. (72)	PROGRAM CODES SCI/NON-SCI (73-74)	PROGRAM CODES BAL PAY (75-76)	CNTRL FUND (77)	REC COUNT (78-80)	APPROPRIATION SYMBOL	P P B NUMBER	

OE FORM 5141, 7/68 REPLACES EDITION OF 3/67 WHICH MAY BE USED.

INSTRUCTIONS FOR COMPLETING QUARTERLY ESTIMATED REQUIREMENTS FOR FEDERAL CASH

This report serves as both a quarterly estimate of requirements for Federal cash and a request for monthly payments.

1. Report Period for Quarter Ending: Indicate the applicable calendar quarter for which the report is submitted.

2. Contract or Grant Number: Enter number as shown on the contract or grant award document signed by the Office of Education contracting or grants officer.

3. Name of Program: Show program title as it appears on the Office of Education contract or grant award document.

4. Name and Address of Contractor or Grantee: Enter name and address. If check is to be drawn payable to other than the contractor or grantee as shown, please indicate by an asterisk and state name and address for this purpose under remarks.

5. Date Estimated Cash is Needed: Show month and day by which cash is actually needed. Every effort will be made to see that U.S. Treasury checks will reach the contractor on or immediately prior to date shown. However, contractors and grantees must submit requests promptly and allow for the time required for processing and mailing of checks by the Federal Government.

6. Estimated Amount Required: Enter total estimated amounts required for disbursement by the grantee during each month of the quarter. The grantee must not adjust these amounts by the Federal cash on hand reported on Form OE-5140. If it is estimated that no funds will be required for disbursement during a particular month, enter "O" for that month. NOTE: If check is to be issued to someone other than the grantee, please give name and address.

7. Remarks: Include any comments or information with respect to unusual cash needs or trends that would be helpful to the Office of Education in processing this request for payment.

8. Submitted by: Type or print the name and title of the project director or an authorized representative of the grantee.

9. Signature of Requesting Official: To be signed by authorized official.

10. Date: Show date the report is signed.

This form and all inquiries pertinent thereto should be addressed to:

Chief, Fiscal Services Section, Finance Branch, U.S. Office of Education,
400 Maryland Avenue, S.W., Washington, D.C. 20202

Suggested Format for Annual Expenditures Report

Period:_____

1. Direct Cost Items:	Budget	Actual
a. Compensation, personal services	$_____	$_____
b. Substitute Teachers salaries	_____	_____
c. Employee Benefits	_____	_____
d. Supplies & Materials	_____	_____
e. Travel	_____	_____
f. Communications	_____	_____
g. Printing	_____	_____
h. Miscellaneous	_____	_____
i. Stipends	_____	_____
j. Transportation	_____	_____
k. Tuition	_____	_____
l. Fees to Universities	_____	_____
m. Equipment	_____	_____
n. Space	_____	_____
o. Services	_____	_____
p. Other	_____	_____
q. TOTAL DIRECT COSTS	$_____	$_____
2. Indirect Costs	_____	_____
3. Total Costs	$_____	$_____

Grant No:_____

Project Number:_____

Recipient:_____

Address:_____

_____
Business Manager

_____
Project Director

_____
Date

DOCUMENT RESUME

003 029

ED 043 096

School

TITLE Division of Equal Educational Opportunities Policies and Procedures Manual for Grants t Boards.

INSTITUTION Bureau of Flementary and Secondary Educatio (DHEW/OE), Washington, D.C.

PUB DATE Oct 69

NOTE 41p.; Revised Oct. 1969

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ABSTRACT

This manual (1) explains the nature and purpose of ESEA Title IV grants; (2) describes the types of programs that may receive grants--the inservice training of school personnel to deal with problems incident to desegregation, and the use of advisory specialists in school desegregation; and (3) outlines procedures for preparing a grant proposal. (JF)

EDO 43096

OE/BESE
TITLE IV

DIVISION OF EQUAL EDUCATIONAL OPPORTUNITIES

POLICIES AND PROCEDURES MANUAL

FOR

GRANTS TO SCHOOL BOARDS

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

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U.S. Department of Health, Education, and Welfare
Office of Education
Bureau of Elementary and Secondary Education
Washington, D.C.

Revised, October 1969

EA C03 029

DISCRIMINATION PROHIBITED

Title VI of the Civil Rights Act of 1964 states: "No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." Therefore, the Equal Educational Opportunities Program, like every program or activity receiving financial assistance from the Department of Health, Education, and Welfare, must be operated in compliance with this law.

DIVISION OF EQUAL EDUCATIONAL OPPORTUNITIES

POLICIES AND PROCEDURES MANUAL

FOR

GRANTS TO SCHOOL BOARDS

Authorized under Title IV, Section 405
Public Law 88-352
The Civil Rights Act of 1964

GRANTS MANUAL

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I. Nature and Purpose of Grants

The Division of Equal Educational Opportunities, of the Office of Education, makes grants to school boards under Title IV, Section 405, of the Civil Rights Act of 1964 (Public Law 88-352). These grants are used to pay, in whole or in part, the cost of:

1. In-service training for teachers and other school personnel to help them deal with problems incident to desegregation.

2. Employment of Advisory Specialists to help solve problems incident to desegregation.

Eligibility

Any agency administering a system of one or more public schools, and any agency responsible for the assignment of students to or within such a system, may submit an application for a grant. Eligible applicants include:

1. Any local board of education
2. Any board governing an area, regional, or district school system.

Awards are made only for programs dealing with problems incident to school desegregation, as distinguished from ordinary operating activities of the school system. Problems incident to desegregation means problems arising from the assignment of students to and within public schools without regard to differences in their race, color, religion, or national origin; it does not include problems exclusively related to the assignment of students to public schools in order to overcome racial imbalance.

Types of Programs

1. Grant funds may be used for in-service training of school personnel to deal with problems incident to desegregation. This training may include all classroom, laboratory, field, and study experiences constituting a planned learning situation. All categories of school personnel may be involved, including teachers, administrators, school board members, counselors, health workers, clerical and maintenance staffs, etc.

2. Grants may be used to employ specialists to advise the applicant school board, or school personnel, on solving problems

related to desegregation in the system. The specialist must possess professional training or experience appropriate for the particular problems to be solved.

Whether for in-service training of school personnel or for the employment of advisory specialists, grant-supported programs should be tailored to the particular needs of the applicant school system. No one program approach has been found suitable for the wide variety of problems which may confront school systems.

Usually few people outside a school system are as aware of its particular problems as are its own staff and officials. Therefore, program characteristics should receive careful attention, in direct relation to specific situations, before the grant proposal is actually drawn up. The grant program should be viewed and planned within the framework of the school system's total desegregation plan. A comprehensive desegregation plan, dealing with every aspect of the process, should be developed. Then, the relationship of the proposed in-service training or advisory specialist program to the other components of the plan should be established. Technical assistance from Office of Education staff with any phase of program planning or proposal development may be arranged upon request through the Division of Equal Educational Opportunities.

Proposal Selection Priorities

The primary mission of the program is to focus available Title IV resources on permanent elimination of school segregation. Priority for support will be given to those proposals from local school districts which:

-- Show evidence of definite commitment to school desegregation within the district.

-- Provide for development of comprehensive school desegregation plans.

-- Identify and deal with specific problems associated with school desegregation, as opposed to dealing with broad problems of quality education for which other Federal assistance funds are available.

-- Make optimum use of available local, State, and university resources.

-- Show that significant results can be economically achieved within a limited time, permitting Title IV support funds to be phased out of the program during that period.

-- Include the use of advisory specialists for the planning phase of desegregation and/or in-service training clearly aimed at implementing and supporting a comprehensive school desegregation plan.

-- Provide for continuing support and assistance to the in-service training participants.

-- Demonstrate innovative programs of school desegregation.

II. Preparation of the Grant Proposal

Proposals should, under the categories designated, fulfill the requirements described below. Conciseness of purpose, clarity of objectives and procedures, and innovation in evaluation claim high priority in the assessment of these proposals.

The body of the proposal should be preceded by a Title Page and an Abstract Page. For their formats, see pages 17 through 19.

Background Information

A detailed description of the system's desegregation efforts, both successes and failures, is necessary for evaluation of the proposed program as part of the total plan to accomplish school desegregation. A clear and fairly detailed description of the community and its schools including current data on the status of desegregation in the system should be provided. Statistical information, data on economic and social patterns, area history, unusual community features, and geography should be included.

Problem Identification

Problems incident to school desegregation are those problems which occur, or are likely to occur, as a consequence of or in conjunction with the process of desegregating schools. Accurate identification and analysis of such problems is crucial to the success of any attempts to alleviate them. Applicants should make certain that the specific problems in their school system are carefully delineated prior to attempting to develop the details of the program proposal.

The specific reference, in Title IV of the legislation, to "problems incident to desegregation" indicates that problems of instruction and curriculum within desegregated schools, as well as problems of inter-personal and inter-group relations, are valid targets for programs financed under this Title.

Program objectives should be established in accordance with specific problems existing in the school district. Objectives, if achieved, should significantly bring solution to one or more of the problems facing the district, and program procedures should be designed to reach the objectives. Finally, evaluation should measure the degree to which objectives are reached in a program, by showing how well the problems facing the school district have been resolved. Thus the entire program hinges on a careful identification of the "problems incident to school desegregation."

The Program Plan

After key problems have been identified, the approach for solving them should be selected. A grant may be directed toward an in-service training program for school personnel, or the employment of advisory specialists, or a combination of both. In addition, Title IV grant program activities in the system should be coordinated with local, State, or federally supported programs. Whatever the nature of the program, it should provide for demonstration and innovation in school desegregation.

The program planning should give attention to each of the following, and the proposal should explain each.

a. Objectives

The program objectives should be specific, measurable, and concise. They should parallel the problems identified above and form the basis for program evaluation. If realized, they should make a significant contribution to solving the problems.

b. Procedures

Procedures should be selected to obtain maximum results from the resources expended. Program planning will often be strengthened if it is a cooperative venture, with representatives of the various categories of school personnel encouraged to present their ideas. The opportu-

nities for working with area institutions of higher education should also be explored. Possibly the program of in-service training can be coordinated with institutes sponsored by the college or university. Such cooperation would bring a greater concentration of resources than might occur through independent activity.

For in-service training programs, the following elements should be developed in keeping with program objectives and be described in the proposal:

(1) Methods of Presentation: The whole range of learning situations may be employed in the training program. Since the objectives of instruction will involve changes in behavior and attitudes, applicants are encouraged to avoid the exclusive use of classroom lectures. The symposium, the seminar, the workshop, the practicum, and continuing on-the-job supervision by instructors are all suited to programs for improving the ability to cope with desegregation problems. Since the ultimate test of this ability is in the school and the community, programs which use these locations for laboratory and field experiences can be particularly effective. The proposal should describe methods in detail, showing how participants are to receive consultation and guidance from the program staff both during and after the training sessions. If curriculum or instructional materials are to be developed as part of the program, their general nature should be indicated.

(2) Schedule of Training Sessions: The frequency, length, and duration of scheduled sessions should consider the following factors: the type of school personnel to be reached; the grouping of participants, not only to insure desegregation but to provide a wide range of experience for each participant; spacing of activities to allow concepts to be developed, attitudes to be examined, and new techniques to be applied; variety of grouping to accommodate the changing attitudes, interests, and energies of the participants; and time for effective and continuing supervision of per-

sonnel. Besides details of timing, the proposal should show how time is provided for sessions: whether within the school week or on weekends, whether during normal work hours or outside them.

(3) Selection of Participants: Programs should be directed, whenever possible, to personnel who can serve as leaders in their respective work areas, influencing the attitudes and practices of their co-workers. Thus the results of direct program participation can be multiplied in effectiveness.

The applicant school system is responsible for selecting participants, provided such selection is in harmony with the overall objectives of the Equal Educational Opportunities authorization. The proposal should give the selection procedures, racial composition, and the number of school personnel to attend.

Plans for programs using advisory specialists should be developed prior to the actual selection of the specialist, within the context of the total school desegregation plan. The proposal should specify the nature of the assistance sought, its importance, the role of the specialist in relation to regular members of the school system staff, the persons and groups with whom he is to work, and the conditions of time and location under which he will work.

Staff

Staff personnel used in the in-service training program or the advisory specialist program may be employed on a full- or part-time basis. Persons supported by a grant may be used only for the purpose stated in the proposal. Where both types of programs are proposed, plans should be coordinated, with an apportioning of the total time of staff personnel and specialists working in both programs. Key staff personnel should have demonstrated competency in the areas in which they are to be utilized.

Facilities and Equipment

Proper facilities and equipment are essential for maximum learning results. Ordinarily, their provision is considered the responsibility of the applicant.

Administrative and Service Requirements

Grant programs should receive competent and continuous direction. If such direction cannot be provided by the chief administrator of the school system, a director should be employed, with delegated authority appropriate to the responsibilities involved.

Plans for the performance of support and maintenance functions should be made beforehand and explained in the proposal. These functions may include: transportation of in-service training program participants for field trips; transportation of non-participating school personnel for observation visits to demonstration projects; transportation of staff and advisory personnel to obtain information for planning and operation, on trips inside the school system; telephone and other communications pertinent to program operation; building and facility operation and maintenance; and food, recreation, and housing arrangements for participants or staff, if these are necessary. In planning for these functions, their effect in meeting program needs should be carefully considered.

Evaluation and Dissemination

The proposal should contain plans for continuous and terminal evaluation of program activities. Since program objectives are designed to solve identified desegregation problems, evaluation procedures should measure the attainment of these objectives. There need not be an elaborate system of data collection and analysis, but sufficient information should be obtained for a valid appraisal of the program. Upon request the Division of Equal Educational Opportunities can provide assistance in establishing procedures for self-evaluation. In addition, the Division will carry out general evaluation by report analysis, on-site visits, and other measures in cooperation with school system officials.

The development of imaginative ways to share new knowledge, both within the school system and with other systems, is encouraged. In-service training programs which include laboratory or field activities can usually employ them as

demonstration centers, introducing new ideas to people who are not directly participating in the program. The evaluation report should include any news clippings, pamphlets, booklets, or descriptions of procedures and incidents that may be helpful to other school systems.

Budget

The budget should reflect realistic and business-like operations. The amount of money requested should be the minimum amount necessary to fulfill the program objectives. Care should be taken to supply all information required for each line item. Note carefully the instructions as to supportable items and the restrictions upon them. The following pages contain budget formats and explanations.

III. Format for Budget
In-Service Training Program

In-Service Training Program Under Title IV, Section 405, P.L. 88-352

Submitted by: Official name and address of the applicant school board or agency.

Duration: Beginning Date_____ Ending Date_____

NOTE: Salaries, service charges, travel costs, etc., must conform to the standard rate of the school board or agency, within maximum limitations indicated.

ITEM	AMOUNT REQUIRED FOR PROGRAM Grant Funds	Other Funds
DIRECT COSTS: Direct costs are those that are specifically incurred in the conduct of the program. These may include the following: a. Compensation for Personal Services: Include salaries, wages, and honoraria directly attributable to the program, for the director, instructional staff, secretaries, clerks, or other personnel. Such compensation should be charged at the actual rates paid by the applicant. Where any person works less than full time on the program, reasonable estimates of time spent on the program may be used in determining the part of the salary to be charged to the program. List all position titles,		

	Grant Funds	Other Funds
and state the percent of time on the program and the per annum or per diem salary of each person.		
b. Compensation for Substitute Personnel: Include the salaries or wages of substitute personnel required to take the place of program participants when the in-service training is conducted during normal school hours.		
c. Employee Services and Benefits: Include costs such as insurance, social security, pension, etc.		
d. Compensation for Participants: Include payment of teachers and other school personnel for actual participation in in-service training outside of regular school hours. This additional compensation is to be at the rate of $3 per hour, or the hourly rate at which the individual is paid by the grantee, whichever is less, not to exceed $15 per day or $75 per week. Compensation above these rates may be paid, but not from Federal funds.		
e. Supplies and Materials: Amounts required for ordinary operating supplies and training materials should be indicated by		

	Grant Funds	Other Funds
subtotals for each of those two categories. Amounts required for special training materials should be indicated for each type of item required.		
f. Tuition and Fee Payments: Include payments of tuition for participants in in-service training programs if these involve attendance at institutions of higher education or in approved courses or activities conducted by other agencies. The per capita costs involved should be indicated. In no instance is tuition or fee costs to be included in grant proposals for attendance at institutes or other activities receiving Federal support for these costs.		
g. Travel: Other than air transportation, travel will be in accordance with the established policy of the grantee, except that allowances from Federal funds can only be made to the maximums provided by U.S. Government regulations in effect at the time that travel is performed.		
(1) Instructors: Travel from place of residence or employment to the program site, and return, should be estimated for the instructors. Travel may also be paid for members of the program staff when necessary.		

	Grant Funds	Other Funds
(2) Participants: Travel necessary for the effective operation of the proposed in-service training program may be made in accordance with the established policy of the applicant and current U.S. Government regulations.		
h. Communications: Include long-distance telephone calls, telegrams, and postage which are directly attributable to and necessary for the implementation and conduct of the program described.		
i. Printing: Include the cost of printing brochures, reports, and nominal items which are specifically required for the conduct or promotion of the program.		
j. Transportation Costs: Include freight, express, cartage, and parcel post charges relating either to goods purchased, in process, or delivered.		
k. Services: Itemize requirements for statistical, duplicating, testing, or other services to be performed in conjunction with the in-service training program.		
l. Other: List other essential items not listed above.		

	Grant Funds	Other Funds
SUBTOTAL	_____	_____
INDIRECT COSTS: These are overhead and may be shown as an applicant contribution to the program.		
TOTAL	_____	_____

Advisory Specialist Program

Employment of Advisory Specialists Under Title IV, Section 405, P.L. 88-352

Submitted by: Official name and address of the applicant school board or agency.

Duration: Beginning Date_____ Ending Date_____

NOTE: Salaries, service charges, travel costs, etc., must conform to the standard rate of the school board or agency, within maximum limitations indicated.

ITEM	AMOUNT REQUIRED FOR PROGRAM Grant Funds	Other Funds
DIRECT COSTS: Direct costs are those that are specifically incurred in the conduct of the program. These may include the following:		
a. Compensation for Personal Services: Includes salaries, wages, and honoraria directly attributable to the program, including the director, secretaries, and clerks, where identified with this program. Such compensation should be charged at the actual rates paid by the applicant. Where any person works less than full time on the program, reasonable estimates of time spent on the program may be used in determining the part of the salary to be charged to the program. List all position titles, and state the percent of time on the program and the per annum or per diem salary of each person.		

	Grant Funds	Other Funds
b. Employee Services and Benefits: Include costs such as insurance, social security, pension, etc.		
c. Supplies and Materials: Amount required for ordinary operating supplies and training materials should be indicated by subtotals for each of those two categories. Amounts required for special materials should be indicated for each type of item required.		
d. Travel for the Advisory Specialist: Other than air transportation, travel will be in accordance with the established policy of the grantee, except that allowances from Federal funds can only be made to the maximums provided by U.S. Government regulations in effect at the time that travel is performed. Travel from place of residence or employment to the program site, and return, should be estimated for the Advisory Specialist. Travel may also be paid for members of his program staff when necessary.		
e. Communications: Include long-distance telephone calls, telegrams, and postage which are directly attributable to and necessary for the implementation and conduct of the program described.		

	Grant Funds	Other Funds
f. Printing: Include the cost of printing brochures, reports, and nominal items which are specifically required for the conduct or promotion of the program. For any printing or binding job in excess of 225 copies, it is necessary to secure a waiver from the U.S. Government Printing Office if the job is to be done outside Government Printing Office facilities.		
g. Transportation Costs: Include freight, express, cartage, and parcel post charges relating either to goods purchased, in process, or delivered.		
h. Services: Itemize requirements for statistical, duplicating, testing, or other services to be performed in conjunction with the program.		
i. Other: List other essential items not listed above.		
SUBTOTAL	_____	_____
INDIRECT COSTS: No indirect costs are allowed under this section of the program.		
TOTAL	_____	_____

IV. Format for Title Page

PROPOSAL FOR GRANT PROGRAM
ON PROBLEMS OF SCHOOL DESEGREGATION

Under the Provisions of Title IV, Section 405, of
Public Law 88-352

The Civil Rights Act of 1964

Title: The title should be concise and descriptive. Key words in the title should indicate the type of desegregation problems to be met and the nature of the groups to be involved. Avoid technical terms that are obscure.

Submitted by: Official name and address of the applicant school board or agency, including zip code.

Initiated by: Name, position, mailing address (including zip code), and telephone number of the individual who initiated the proposal, ordinarily the chief executive officer of the school system. The signature of this initiator should appear on all copies of the proposal submitted.

Authorized by: Name, position, mailing address (including zip code), and telephone number of the individual authorized to enter into the grant agreement on behalf of the governing board involved, ordinarily the head of that board. The signature of this authorized person should appear on all copies of the proposal, under the following statement: "By signing and submitting this Proposal, we hereby accept and agree to the Terms and Conditions set out in the Policies and Procedures Manual for the program, acknowledge that any grant award issued on the basis of this Proposal will be subject to these Terms and Conditions, and agree that if awarded a grant we will fully comply with them."

_____(signature)

Fiscal Officer: Name, position, mailing address (including zip code), and telephone number of the official authorized to receive Federal funds on behalf of the applicant school board or agency.

Federal Funds Requested:

In-Service Training $_____

Advisory Specialists $_____

Total Federal funds requested $_____

Duration: Beginning Date_____ Ending Date_____

Date Transmitted: _____

V. Format for the Abstract Page

ABSTRACT

On a single, separate page, present a summary of the proposal. Use the following headings:

1. Title:
2. Submitted by:
3. Director of the Program:
4. Objectives:
5. Procedures:
6. Time Schedule: (i.e., beginning and ending dates)
7. Total cost of the program:
8. Total Federal funds requested:

Place the Abstract immediately after the Cover Page.

VI. Processing of the Grant Proposal

Ten (10) copies of the proposal, all signed by appropriate officials and/or requests for additional information regarding the Title IV program should be directed to the Senior Program Officer at the address in which your State is located.

(A) Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, and West Virginia.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
220 7th Street, N.E.
Charlottesville, Virginia 22901

(B) Alabama, Florida, Georgia, Kentucky, Mississippi North Carolina, South Carolina, and Tennessee.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
Peachtree - Seventh Building, Room 404
50 7th Street, N.E.
Atlanta, Georgia 30323

(C) Illinois, Indiana, Minnesota, Michigan, Ohio, and Wisconsin.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
433 West Van Buren Street
Chicago, Illinois 60607

(D) Arkansas, Louisiana, New Mexico, Oklahoma, and Texas.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
1114 Commerce Street
Dallas, Texas 75202

(E) Alaska, Arizona, California, Hawaii, Nevada, Oregon, and Washington.

Senior Program Officer
U.S. Office of Education
Division of Equal Educational Opportunities
760 Market Street
San Francisco, California 94102

(F) Colorado, Connecticut, Idaho, Iowa, Kansas, Maine, Massachusetts, Missouri, Montana, Nebraska, New Hampshire, New Jersey, New York, North Dakota, Rhode Island, South Dakota, Utah, Vermont, Wyoming.

Chief, Northern and Western Branch
U.S. Office of Education
Division of Equal Educational Opportunities
400 Maryland Avenue, S.W.
Washington, D. C. 20202

Each proposal will be evaluated by members of the Division of Equal Educational Opportunities staff and, where appropriate, by outside evaluators with special expertise in school desegregation. The evaluation committees will determine whether a given proposal should be supported; should not be supported; or should be negotiated.

Approved proposals will be submitted to the Commissioner of Education for final approval. The proposing institution will subsequently be notified of the acceptance or rejection of the proposal. If the proposal is accepted, the notification will constitute the creation of a binding agreement. It will be subject to the grant Terms and Conditions contained in the attached supplement.

Department of Health, Education, and Welfare
Office of Education
Washington, D.C. 20202

VII. GRANT TERMS AND CONDITIONS

For

Educational Training Projects

1. DEFINITIONS
2. SCOPE OF THE PROJECT
3. LIMITATIONS ON COSTS
4. ALLOWABLE COSTS
5. ACCOUNTS AND RECORDS
6. TERMINATION
7. PRINTING AND DUPLICATING
8. REPORTS
9. EXTENSION OF PROJECT PERIOD OR BUDGET PERIOD
10. EQUIPMENT
11. CHANGE OF KEY PERSONNEL
12. APPLICABILITY OF STATE AND LOCAL OR INSTITUTIONAL PROCEDURES
13. COPYRIGHT AND PUBLICATION
14. ACKNOWLEDGMENT AND DISCLAIMER IN PUBLICATION
15. PATENT RIGHTS
16. SERVICE CONTRACTS
17. DUAL COMPENSATION

1. DEFINITIONS

As used in the grant documents relating to this award, the following terms shall have the meaning set forth below:

a. "Commissioner" means the U.S. Commissioner of Education.

b. "Grantee" means the institution, organization, or individual named in the grant as the recipient of the grant award.

c. "Grants Officer" means the employee of the U.S. Office of Education who has been delegated authority to execute or amend the grant document on behalf of the Government.

d. "Project Officer" means the employee of the U.S. Office of Education who is responsible for monitoring the project of the Grantee to assure compliance with the terms and conditions of the grant.

e. "Project" is the identified activity or program approved by the Commissioner for support.

f. "Project Director" is the person responsible for directing the training program.

g. "Project Period" means the length of time specified in the Notification of Grant Award for which a project is approved.

h. "Budget Period" means the period of time (within or coterminous with the project period) specified in the Notification of Grant Award, during which project costs may be charged against the grant. A budget period is generally twelve (12) months but may be for a different period of time, if appropriate.

i. "Budget" means the amount of funds approved by the Office of Education for designated services, materials, and other items.

2. SCOPE OF THE PROJECT

The project to be carried out hereunder shall be consistent with the proposal as approved for support by the Commissioner and referred to in the Notification of Grant Award and shall be performed in accordance with this document.

3. LIMITATIONS ON COSTS

a. The total cost to the Government for the performance of the grant will not exceed the amount set forth in the Notification of Grant Award or any appropriate modification thereof. The Government shall not be obligated to reimburse the Grantee for costs incurred in excess of such amount unless and until the Grants Officer shall have notified the Grantee in writing that such amount has been increased and shall have specified in a revised Grant Award a revised amount which shall thereupon constitute the revised total cost of performance of the grant.

b. The limitation on costs stated in paragraph "a" above shall automatically be increased to cover the cost of allowance for additional dependents not specified in the Notification of Grant Award.

4. ALLOWABLE COSTS

a. Allowability of direct costs incurred under this grant shall be determined in accordance with the principles and procedures set forth in the documents identified below, as amended prior to the date of the award.

(1) Bureau of the Budget Circular A-21, dated March 3, 1965, with all revisions issued effective prior to the date of the award, if the Grantee is an institution of higher education; or

(2) Exhibit X-2-66-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a hospital; or

(3) Exhibit X-2-67-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a local Government agency; or

(4) Exhibit X-2-68-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a nonprofit institution, as defined therein; or

(5) DHEW Pamphlet OASC-6, if the Grantee is a State Government agency.

b. Indirect costs for educational training programs will be based on a fixed rate of eight percent (8%) of the allowable direct costs, including stipends and dependency allowance.

c. Institutional allowances, applicable to any educational training program, which are not predetermined by the statute, regulations, or program guidelines, will be subject to audit and possible adjustment, in accordance with the applicable subparagraph of paragraph "a" above. In no event will the institutional allowance exceed the amount authorized by the statute, regulations, or guidelines governing the program.

5. ACCOUNTS AND RECORDS

a. Accounts

The Grantee shall maintain accounts, records and other evidence pertaining to all costs incurred, revenues or other applicable credits acquired under this grant. The system of accounting employed by the Grantee shall be in accordance with accounting principles generally used by State or local agencies or institutions of higher education, and will be applied in a consistent manner so that the project expenditures can be clearly identified.

b. Examination of Records

All records directly relating to transactions under this grant are subject to inspection and audit by the Department of Health, Education, and Welfare at all reasonable times during the period of retention provided for in paragraph d below.

c. Disposition of Records

Except as provided in paragraph d, below, all pertinent records and books of accounts related to this grant in the possession of the Grantee shall be preserved by the Grantee for a period of five (5) years after the close of the budget period in which final expenditures are made; or until audit by or on behalf of the Department, whichever is earlier.

d. Questioned Expenditures

Records relating to any litigation or claim arising out of the performance of this grant, or costs and expenses of this grant to which exception has been taken as a result of inspection or audit, shall be retained by the Grantee until such litigations, claims or exceptions have been disposed of.

6. TERMINATION

Research training grants may be terminated or revoked in accordance with Subparagraph 151.11 and 151.12 of the regulations in 45 CFR. Other grants may be terminated in whole or in part by the Government in the event the Grantee fails to carry out the terms of the grant in accordance with the stated objectives. Termination shall be effected by delivery to the Grantee of a written notification thereof, signed by the Grants Officer.

Financial obligations incurred by the Grantee prior to the effective date of the termination will be allowable to the extent they would have been allowable had the grant not been terminated. The Grantee agrees to furnish the Grants Officer within sixty (60) days of the effective date of termination an itemized accounting of funds expended, obligated, and remaining under the grant. The Grantee also agrees to remit within thirty (30) days of the receipt of a written request therefor any amounts found due.

7. PRINTING AND DUPLICATING

All printing and duplicating authorized under this grant are subject to the limitations and restrictions contained in the current issue of the U.S. Government Printing and Binding Regulations if done for the use of the Office of Education within the meaning of those Regulations.

8. REPORTS

The Grantee shall submit such fiscal and technical reports as may be required by the Office of Education, and in the quantity and at the time stated in the report schedule which is set forth in the Special Provisions.

9. EXTENSION OF PROJECT PERIOD OR BUDGET PERIOD

When progress under the grant is delayed and circumstances make it necessary to request an extension of either the project period or the budget period, or both, without additional funds, it is the policy of the Office of Education to permit such extensions upon written request. Where it appears that the activity to be accomplished within the project period or the budget period, or both, will be completed within three (3) months after the expiration date, it will not be necessary to request an extension; however, the Grantee should notify the Project Officer, in writing, of the delay in completion. Where it appears that the time required will exceed three (3) months, the Grants Officer should be informed, and an extension should be requested.

10. EQUIPMENT

a. Definition

As used in this Article the term "equipment" means nonconsumable personal property to be used in the performance of the grant, having an acquisition cost of $300 or more and a useful life expectancy greater than one (1) year.

b. Title and Disposition

Title to equipment purchased with grant funds will be vested in the Grantee. Notwithstanding the foregoing, however, should the Commissioner, during the useful life of any equipment acquired with funds under the grant, determine that transfer of title to and possession of such equipment, or any other disposition, is necessary or desirable in order to accomplish the purposes of the program, the Grantee shall dispose of such equipment as the Grants Officer may direct.

c. Use

Equipment purchased with grant funds shall be used only to accomplish the purposes of the grant unless another use is approved in writing by the Grants Officer. The Grantee shall maintain current inventory of all such equipment and shall safeguard and protect all such equipment in accordance with prudent property management practices.

11. CHANGE OF KEY PERSONNEL

The Project Director and other grant personnel specified by name in the proposal are considered to be essential to the work being performed. If for any reason substitution of a specified individual becomes necessary, the Grantee shall provide timely written notification to the Grants Officer. Such written notification shall include the successor's name, with a resume of his qualifications.

12. APPLICABILITY OF STATE AND LOCAL OR INSTITUTIONAL PROCEDURES

Except to the extent otherwise provided for in this document or any document incorporated herein by reference, nothing herein or therein shall be construed so as to alter the applicability of any rule, regulation or procedure of the applicant which would otherwise pertain to the activity covered by this grant.

THE FOLLOWING CLAUSES APPLY TO MATERIALS PRODUCED BY THE GRANTEE IN CARRYING OUT THE OBJECTIVES OF THE PROJECT AND ARE NOT APPLICABLE TO MATERIALS PRODUCED BY TRAINEES OR FELLOWS UNLESS THEY ARE PRODUCED AT THE DIRECTION OF THE GRANTEE.

13. COPYRIGHT AND PUBLICATION

a. The term "materials" as used herein means writings, sound recordings, films, pictorial reproductions, drawings or other graphic representations, computer programs, and works of any similar nature produced under this grant. The term does not include financial reports, cost analyses, and similar information incidental to grant administration.

b. It is the policy of the Office of Education that the results of activities supported by it should be utilized in the manner which would best serve the public interest. To that end, except as provided in Paragraph c, the Grantee shall not assert any rights at common law or in equity or establish any claim to statutory copyright in such materials; and all such materials shall be made freely available to the Government, the

education community, and the general public.

c. Notwithstanding the provisions of paragraph b above, upon request of the Grantee or his authorized designee, arrangements for copyright of the materials for a limited period of time may be authorized by the Commissioner, through the Grants Officer, upon a showing satisfactory to the Office of Education that such protection will result in more effective development or dissemination of the materials and would be in the public interest.

d. With respect to any materials for which the securing of copyright protection is authorized under paragraph c, the Grantee hereby grants a royalty-free, nonexclusive and irrevocable license to the Government to publish, translate, reproduce, deliver, perform, use, and dispose of all such materials.

e. To the extent the Grantee has the right and permission to do so, the Grantee hereby grants to the Government a royalty-free, nonexclusive and irrevocable license to use in any manner copyrighted material not first produced in the performance of this grant but which is incorporated in the materials. The Grantee shall advise the Grants Officer of any such material known to it not to be covered by such license.

14. ACKNOWLEDGMENT AND DISCLAIMER IN PUBLICATION

Any publication or presentation resulting from or primarily related to the project being performed hereunder shall contain the following acknowledgment:
"The project presented or reported herein was performed pursuant to a Grant from the U.S. Office of Education, Department of Health, Education, and Welfare. However, the opinions expressed herein do not necessarily reflect the position or policy of the U.S. Office of Education, and no official endorsement by the U.S. Office of Education should be inferred."

15. PATENT RIGHTS

a. Policy

In accordance with Department of Health, Education, and Welfare Regulations (45 CFR Subtitle A, Parts 6 and 8), all inventions made in the course of or under any Office

of Education grant shall be promptly and fully reported to the Assistant Secretary (Health and Scientific Affairs), Department of Health, Education, and Welfare.

The Grantee institution and the principal investigator shall neither have nor make any commitments or obligations which conflict with the requirements of this policy.

b. Determination

Determination as to ownership and disposition of invention rights, including whether a patent application shall be filed, and if so, the manner of obtaining, administering, and disposing of rights under any patent application or patent which may issue, shall be made either:

(1) By the Assistant Secretary (Health and Scientific Affairs) whose decision shall be considered as final, or

(2) Where the institution has a separate formal institutional agreement with the Office of Education or the Department, by the Grantee institution in accordance with such agreement.

Patent applications shall not be filed on inventions under (1) above without prior written consent of the Assistant Secretary (Health and Scientific Affairs) or his representative. Any patent application filed by the Grantee on an invention made in the course of, or under, an Office of Education grant shall include the following statement in the first paragraph of the specification:

"The invention described herein was made in the course of, or under, a grant from the U.S. Office of Education, Department of Health, Education, and Welfare."

c. Reports and Other Requirements

A complete written disclosure of each invention in the form specified by the Assistant Secretary (Health and Scientific Affairs) shall be made by the Grantee promptly after conception or first actual reduction to practice, whichever occurs first under the grant. Upon request, the Grantee shall furnish such duly executed instruments (prepared by the Government) and such other papers as

are deemed necessary to vest in the Government the rights reserved to it under this policy statement to enable the Government to apply for and prosecute any patent application, in any country, covering each invention where the Government has the right to file such application.

The Grantee shall furnish interim reports (Annual Invention Statements) prior to the continuation of any grant listing all inventions made during the budget period whether or not previously reported, or certifying that no inventions were made during the applicable period. Upon completion of the project period, the Grantee shall furnish a final invention report listing all inventions made during performance of work on the supported project, or certifying that no inventions were made during that week.

d. Supplementary Patent Agreements

The Grantee shall obtain appropriate patent agreements to fulfill the requirements of this provision from all persons who perform any part of the work under the grant, except such clerical and manual labor personnel as will have no access to technical data, and except as otherwise authorized in writing by the Department.

The Grantee shall insert, in each subcontract or agreement having experimental, developmental, or research work as one of its purposes, a clause making this provision applicable to the subcontractor and its employees.

e. Definitions

As used in this provision, the stated terms are defined as follows for the purposes hereof:

(1) "Invention" or "invention or discovery" includes any art, machine, manufacture, design or composition of matter, or any new and useful improvement thereof or any variety of plant, which is or may be patentable under the Patent Laws of the United States.

(2) "Made" when used in relation to any invention or discovery means the conception or first actual reduction to practice of such invention in the course of the grant.

f. Inventions Resulting from Grants Made in Support of Research by Federal Employees

Inventions resulting from grants made in support of research by Federal employees shall be reported simultaneously to the Assistant Secretary (Health and Scientific Affairs) pursuant to the terms of the grant and to the employing agency under the terms of Executive Order 10096, as amended.

16. SERVICE CONTRACTS

The Grantee may enter into contracts or agreements for the provision of part of the services under this grant by other appropriate public or private agencies or institutions. Such contract or agreement shall incorporate these grant terms, and all other rules and regulations, applicable to the program, shall describe the services to be provided by the agency or institution, and shall contain provisions assuring that the Grantee will retain supervision and administrative control over the provision of services under the contract. Services to be provided by contract pursuant to this section shall be specified in the project proposal or in an amendment thereto, and the proposed contract shall be submitted to the Grants Officer and be approved by him in writing.

17. DUAL COMPENSATION

If a project staff member, lecturer, or consultant is involved simultaneously in two or more projects supported by Federal funds, he may not be compensated for more than "one hundred percent (100%) time" from Federal funds for any part of the period of dual involvement.

No project funds or funds from the Grantee or other sources may be used to pay a fee, travel or per diem, for U.S. Office of Education staff who might be asked to appear as guest speakers or invited to attend project functions.

SPECIAL PROVISIONS

1. Payment Procedures

To obtain Federal funds, Grantees must submit forms OE-5141, Quarterly Estimated Requirements for Federal Cash, and OE-5140, Monthly/Quarterly Report of Disbursements of Federal Cash (see pages 33 through 36). These forms are sent with the Notification of Grant Award. Instructions for completing the forms are printed on the back. The Report of Disbursements of Federal Cash is to be submitted as a quarterly report, and is due by the 10th day of the month following the end of a calendar quarter.

2. Reports

Technical and expenditure reports are required as follows:

a. Technical Reports

1. Technical progress reports shall be submitted quarterly in five (5) copies.

2. A final technical report shall be submitted within ninety days of the end of the grant award period or the termination of the grant, whichever is earlier, in ten (10) copies.

Reports should be sent to the appropriate office indicated on pages 20 through 21.

b. A final expenditure report for the period covered by the project grant shall be submitted to the appropriate office shown on pages 20 through 21 within 90 days following the expiration date of the award period. A suggested format for the report can be found on page 37.

OE-5140 (REV. 2/67)

BUDGET BUREAU NO. 51-R0621
APPROVAL EXPIRES 6/30/71

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

FINANCE BRANCH

MONTHLY/QUARTERLY REPORT OF DISBURSEMENTS OF FEDERAL CASH

INSTRUCTIONS: Please complete and submit two copies of this report by the 10th day of each month following report period. (See Reverse Side)

1. REPORT FOR PERIOD ENDING: _____, 19____

3. NAME OF PROGRAM

2. CONTRACT OR GRANT NUMBER

4. NAME AND ADDRESS OF CONTRACTOR OR GRANTEE:

DISBURSEMENT ITEMS	AMOUNT OF DISBURSEMENTS
5. Disbursements of Federal cash previously reported	$
6. Disbursements of Federal cash for current reporting period	
7. Federal cash on hand at end of current reporting period	
8. *(Federal cash accounted for)* TOTAL	$

9. REMARKS:

10. SUBMITTED BY: *(Type name and title)*

11. SIGNATURE OF REPORTING OFFICIAL

12. DATE:

INSTRUCTIONS FOR COMPLETING MONTHLY/QUARTERLY REPORT OF DISBURSEMENTS OF FEDERAL CASH

This report serves as either a monthly or quarterly report of disbursements of Federal cash under a specific Office of Education contract or grant. While it is the OE policy to make monthly payments as requested by the contractor on Form OE-5141, "Quarterly Estimated Requirements for Federal Cash," adjustments will be made in a subsequent payment if this report indicates significant differences between actual disbursements as compared to amounts previously estimated, resulting in an excess of Federal cash on hand.

1. Report for Period Ending: Show ending month and year of period for which report is made.

2. Contract or Grant Number: Enter number as shown on the contract or grant award document signed by the Office of Education contracting or grants officer.

3. Name of Program: Show program title as it appears on the Office of Education contract or grant award document.

4. Name and Address of Contractor or Grantee: Enter name and address of contractor or grantee.

5. Disbursement of Federal Cash Previously Reported: Enter the cumulative total of Federal cash previously disbursed and reported for this contract or grant.

6. Disbursements of Federal Cash for Current Reporting Period: Enter total Federal cash disbursed during the current reporting period. Include any adjustments for periods previously reported and explain any significant amounts in Item 9.

7. Federal Cash on Hand at End of Current Reporting Period: Enter Federal cash on hand at end of current reporting period.

8. Total: Enter total of Items 5, 6, and 7.

9. Remarks: Grantee should include an explanation of the cash balance shown in Item 7 if it is greater than the next 30 day requirements.

10. Submitted by: Type or print the name and title of authorized official (project director, or the authorized representative of the grantee).

11. Signature of Reporting Official: To be signed by authorized official in consultation with the project fiscal officer.

12. Date: Enter date this report is signed.

This form and all inquiries pertinent thereto should be addressed to:

Chief, Fiscal Services Section, Finance Branch, U.S. Office of Education
400 Maryland Avenue, S.W., Washington, D.C. 20202

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

BUDGET BUREAU NO. 51-R0622
APPROVAL EXPIRES 6/30/71

QUARTERLY ESTIMATED REQUIREMENTS FOR FEDERAL CASH

INSTRUCTIONS: Please complete and submit two copies of this report 30 days prior to the beginning of each quarter. (See Reverse Side)

1. REPORT PERIOD FOR QUARTER ENDING _____, 19____

3. NAME OF PROGRAM

2. CONTRACT OR GRANT NUMBER

4. NAME AND ADDRESS OF CONTRACTOR OR GRANTEE	5. DATE ESTIMATED CASH IS NEEDED *(Show month and day)*	6. ESTIMATED AMOUNT REQUIRED
		$
	TOTAL →	$

7. REMARKS:

8. SUBMITTED BY *(Type name and title)*

9. SIGNATURE OF REQUESTING OFFICIAL

10. DATE

ACCOUNTING DATA
(For Use Of Office Of Education Only)

R T (1)	MAC. NO. (2)	F Y (3)	BATCH NO. (4-7)	COMMON ACCOUNTING NO. (UAN) (8-15)	EFF DATE (16-18)	OBLIGATION NUMBER (19-33)	TRANS. CODE (34-36)	AMOUNT (Dollars & Cents) (37-48)	NEG. SYM (49)	OBJECT CLASS (50-53)	VENDOR NUMBER (54-65)

VOUCHER SCHEDULE NUMBER (66-71)	GOVT. NON-GOVT. (72)	PROGRAM CODES SCI/NON-SCI (73-74)	PROGRAM CODES BAL PAY (75-76)	CNTRL FUND (77)	REC COUNT (78-80)	APPROPRIATION SYMBOL	P P B NUMBER	

OE FORM 5141, 7/68 REPLACES EDITION OF 3/67 WHICH MAY BE USED.

INSTRUCTIONS FOR COMPLETING QUARTERLY ESTIMATED REQUIREMENTS FOR FEDERAL CASH

This report serves as both a quarterly estimate of requirements for Federal cash and a request for monthly payments.

1. Report Period for Quarter Ending: Indicate the applicable calendar quarter for which the report is submitted.

2. Contract or Grant Number: Enter number as shown on the contract or grant award document signed by the Office of Education contracting or grants officer.

3. Name of Program: Show program title as it appears on the Office of Education contract or grant award document.

4. Name and Address of Contractor or Grantee: Enter name and address. If check is to be drawn payable to other than the contractor or grantee as shown, please indicate by an asterisk and state name and address for this purpose under remarks.

5. Date Estimated Cash is Needed: Show month and day by which cash is actually needed. Every effort will be made to see that U.S. Treasury checks will reach the contractor on or immediately prior to date shown. However, contractors and grantees must submit requests promptly and allow for the time required for processing and mailing of checks by the Federal Government.

6. Estimated Amount Required: Enter total estimated amounts required for disbursement by the grantee during each month of the quarter. The grantee must not adjust these amounts by the Federal cash on hand reported on Form OE-5140. If it is estimated that no funds will be required for disbursement during a particular month, enter "O" for that month. NOTE: If check is to be issued to someone other than the grantee, please give name and address.

7. Remarks: Include any comments or information with respect to unusual cash needs or trends that would be helpful to the Office of Education in processing this request for payment.

8. Submitted by: Type or print the name and title of the project director or an authorized representative of the grantee.

9. Signature of Requesting Official: To be signed by authorized official.

10. Date: Show date the report is signed.

This form and all inquiries pertinent thereto should be addressed to:

Chief, Fiscal Services Section, Finance Branch, U.S. Office of Education,
400 Maryland Avenue, S.W., Washington, D.C. 20202

Suggested Format for Annual Expenditures Report

Period:_____

		Budget	Actual
1.	Direct Cost Items:		
	a. Compensation, personal services	$_____	$_____
	b. Substitute Teachers salaries	_____	_____
	c. Employee Benefits	_____	_____
	d. Supplies & Materials	_____	_____
	e. Travel	_____	_____
	f. Communications	_____	_____
	g. Printing	_____	_____
	h. Miscellaneous	_____	_____
	i. Stipends	_____	_____
	j. Transportation	_____	_____
	k. Tuition	_____	_____
	l. Fees to Universities	_____	_____
	m. Equipment	_____	_____
	n. Space	_____	_____
	o. Services	_____	_____
	p. Other	_____	_____
	q. TOTAL DIRECT COSTS	$_____	$_____
2.	Indirect Costs	_____	_____
3.	Total Costs	$_____	$_____

Grant No:_____

Project Number:_____

Recipient:_____

Address:_____

_____
Business Manager

_____
Project Director

_____
Date